

Zurich, July 12, 2013/VBFRG  
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roger.fivat@vontobel.ch

United States Bankruptcy Court  
Southern District of New York  
One Bowling Green  
New York, N> 10004-1408  
United States



- ☐ as discussed
- ☐ for your information
- ☐ for your records
- ☐ please return
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- ☐ forward to

- ☒ please process
- ☐ please comment
- ☐ please sign
- ☐ returned with thanks
- ☐ please clarify
- ☐

Please note:

Enclosed please find one form "Evidence of Transfer of Claim". Please note, that the mentioned  
Lehman Product is deposited now in our bank.

Our Claim number is: 67373

If you have any questions, don't hesitate to contact me.

Yours sincerely,

Bank Vontobel AG

Roger Fivat

Form 210A (10/06)

# United States Bankruptcy Court

Southern District Of New York

In re Lehman Brothers Holdings Inc., et al., Debtors,

Case No. 08-13555 (JMP)

## TRANSFER OF CLAIM OTHER THAN FOR SECURITY

A CLAIM HAS BEEN FILED IN THIS CASE or deemed filed under 11 U.S.C. § 1111(a). Transferee hereby gives evidence, attached hereto, and notice pursuant to Rule 3001(e)(2), Fed. R. Bankr. P., of the transfer, other than for security, of the claim referenced in this evidence and notice.

Bank Vontobel AG, Zurich / Switzerland

Name of Transferee

Name and Address where notices  
to transferee should be sent:

Bank Vontobel AG  
Gotthardstrasse 43  
Postfach  
CH-8022 Zurich / Switzerland

Phone: \_\_\_\_\_

Last Four Digits of Acct #: \_\_\_\_\_

Name and Address where transferee  
payments should be sent (if different  
from above):

Phone: \_\_\_\_\_

Last Four Digits of Acct #: \_\_\_\_\_

I declare under penalty of perjury that the information provided in this notice is true and correct to the best of my knowledge and belief.

By: \_\_\_\_\_  
Transferee/Transferee's Agent

Neue Aargauer Bank AG / Switzerland

Name of Transferor

Court Claim # (if known): 55814-27

Date Claim Filed: not known

Amount of Claim: to be determined

Portion of Claim Transferred (see

Schedule I): CHF 30'000

Phone: \_\_\_\_\_

Last Four Digits of Acct. #: \_\_\_\_\_



Date: 12/07/2013

*Penalty for making a false statement: Fine of up to \$500,000 or imprisonment for up to 5 years, or both. 18 U.S.C. §§ 152 & 3571.*

Bank Vontobel AG  
Gotthardstrasse 43  
CH-8022 Zürich

**EVIDENCE OF TRANSFER OF CLAIM**


**TO: THE DEBTOR AND THE BANKRUPTCY COURT**


For value received, the adequacy and sufficiency of which are hereby acknowledged, **Neue Aargauer Bank AG** ("Transferor") unconditionally and irrevocably transferred to **Bank Vontobel AG** ("Transferee") all of its right, title, interest, claims and causes of action in and to or arising under or in connection with the portion of its claim (**Claim No. 55814-27**) relating to the securities with International Securities Identification Numbers listed on Schedule I hereto against Lehman Brothers Holdings, Inc. (the "Debtor"), Chapter 11 Case No.: 08-13555 (JMP) (Jointly Administered), United States Bankruptcy Court for the Southern District of New York (the "Bankruptcy Court").

Transferor hereby waives any objection to the transfer of the claim to Transferee on the books and records of the Debtor and the Bankruptcy Court and hereby waives to the fullest extent permitted by law any notice or right to a hearing as may be imposed by Rule 3001 of the Federal Rules of Bankruptcy Procedure, the Bankruptcy Code, applicable local bankruptcy rules or applicable law. Transferor acknowledges and understands, and hereby stipulates, that an order of the Bankruptcy Court may be entered without further notice to Transferor regarding the transfer of the foregoing claim and recognizing the Transferee as the sole owner and holder of the claim. Transferor further directs the Debtor, the Bankruptcy Court and all other interested parties that all further notices relating to the claim, and all payments or distributions of money or property in respect of claim, shall be delivered or made to the Transferee.

IN WITNESS WHEREOF, this EVIDENCE OF TRANSFER OF CLAIM IS  
EXECUTED ON May 02, 2013.

**Neue Aargauer Bank AG**

By:   
Name: Adrian Graf  
Title:

By:   
Name: Irma Bauer  
Title:



**SCHEDULE I**

**Lehman Programs Securities Related to Transferred Portion of Claim:**

<b>ISIN</b>	<b>Court Claim #</b>	<b>Date Claim Filed</b>	<b>Issuer</b>	<b>Number of Units or Currency and Nominal Amount</b>
XS0328873681	55814-27	October 29, 2009	Lehman Brothers Treasury BV	CHF 30'000.00